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November 16, 2006

TO: Each Supervisor

FROM: Robert B. Taylor *Robert B. Taylor*
Chief Probation Officer

J. Tyler McCauley *JTM*
Auditor-Controller

SUBJECT: **IMPLEMENTATION OF MANAGEMENT & PROGRAM AUDIT
RECOMMENDATIONS – SECOND QUARTER STATUS REPORT**

On May 10, 2006, during the FY 2006-07 Proposed Budget Public Hearing, on motion of Supervisor Molina, the Board instructed the Chief Probation Officer along with the Chief Administrative Officer (CAO) and the Auditor-Controller (A-C), to provide the Board with quarterly status reports on the following:

- 1) The implementation of the management and program audits conducted by Thompson, Cobb, Bazilio and Associates (TCBA) and the Child Welfare League of America (CWLA);
- 2) The reorganization of the Probation Department; and
- 3) The Probation Department's plans to institutionalize change in the Department, such as formalized investigations of staff; implementation of corrective actions; and training of new and existing staff.

Our First Quarter Status Report was submitted to your Board on August 17, 2006. This is our Second Quarter Status Report covering August 2006 through October 2006. During the Second Quarter, the number of recommendations confirmed to be implemented or partially implemented increased from 63 to 75 (79%). The number of recommendations implemented increased from 17 to 27 (28%).

The Probation Department's Priority Unmet Needs Multi-Year Implementation Plan (Plan) included a request for funding to implement some of the TCBA and CWLA recommendations. The Plan is under review by the CAO, who on September 26, 2006, provided your Board with funding recommendations to begin addressing these needs. The CAO anticipates providing additional staffing recommendations to your Board in November 2006.

BACKGROUND

In September 2004, the Board directed the A-C to initiate a management and program audit of the Probation Department. On December 6, 2005, TCBA and CWLA issued their audit reports which collectively contained 100 recommendations. The TCBA management audit recommendations focused on six areas: 1) strategic planning; 2) linking strategies to operations; 3) organizational structure and leadership; 4) automated systems and technology; 5) personnel management; and 6) other audit areas. The CWLA program audit recommendations focused on four areas relative to the Probation Department's programs to determine their efficiency and effectiveness: 1) program planning and implementation; 2) best practices and benchmarking; 3) performance measurement; and 4) work processes. A general summary of the implementation status of the audit recommendations is provided in Attachment I.

Representatives from the A-C and the Probation Department continue to work with The Resources Company (TRC), a consulting agency hired by the A-C in May 2006, to assist the Probation Department in effectively implementing the TCBA and CWLA recommendations. During the Second Quarter, TRC conducted a thorough ongoing review of all recommendations and determined their current status as "Implemented," "Partially Implemented," "Not Implemented" and "Funding Requested." As indicated in our First Quarterly Report, the Probation Department has determined with TRC's concurrence that five recommendations are "not applicable." Consequently, the implementation status for 95 of the 100 recommendations is being tracked.

I. AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS OVERVIEW

As indicated on Attachment I, of the 95 applicable TCBA and CWLA audit recommendations:

- 27 (28%) have been fully implemented by the Department as confirmed by TRC;
- 48 (51%) are in progress, and thus, are partially implemented;
- 11 (12%) are not yet implemented, and
- 9 (9%) are not yet implemented as they are contingent on the availability of additional resources.

As reflected above, 20 recommendations (21%) are not yet implemented, of which 11 are addressed in the EBP Comprehensive Action Plan, while 9 others are contingent upon additional resources. A detailed listing of the recommendations' implementation status and projected implementation schedule by audit agency, by audit category is provided in Attachment II.

II. PROBATION DEPARTMENT REORGANIZATION

The Probation Department's FY 2006-07 revised Unmet Needs of \$116.3 million included \$26.2 million and 253 positions necessary to proceed with a significant management restructure of the Department as reflected on Attachment III, primarily aimed at:

- Addressing the span of supervision problem and the "flatness" of the organization;
- Appropriately handling the many operational responsibilities for effective strategic planning and management and enabling addressing long-term issues;
- Providing the necessary leadership to better prepare the Department for the future; and
- Enhancing communication internally and externally, including all key stakeholders.

On September 26, 2006, your Board approved funding for certain elements from the Department's FY 2006-07 unmet needs budget request to begin a phased implementation approach to reorganize the Department which included:

- A Chief Deputy Probation Officer position at a higher salary range (R16), and two Assistant Chief Probation Officer positions (R15), one for Operations and one for Support Services, offset by the elimination of the two Chief Deputy Probation Officer (R15) positions.
- Three Deputy Director Probation Officer (R14) positions for Juvenile Institutions, Field Services, and Special Services.
- Seven Bureau Chief (R13) positions, offset by a reduction of seven Senior Probation Director (R12 with 10 percent additional compensation) positions.
- An Information Systems Manager II (R13) position to function as the Department's Chief Information Officer, and two Information Systems Manager I (104A) positions, offset by the elimination of the Division Chief, Systems, Probation (R12) and two Assistant Division Chief, Systems, Probation (R10) positions, respectively.
- Four Assistant Probation Director (93K) positions to support each of the Deputy Directors (one each).

The Department is working with the CAO and the Department of Human Resources on recruitment and examination processes as applicable to the above positions. The Department anticipates filling these positions by April 2007. As a result of obtaining approval of the preceding positions and any additional positions, the Department's operations are anticipated to significantly improve and address the longstanding span of control and other issues identified above.

On September 26, 2006, your Board also appropriated a \$3.0 million allocation in the Provisional Financing Uses Budget for the Probation Department to enable addressing the next phase of their restructuring needs. The proposed positions are currently under review by the CAO. The CAO anticipates submitting their recommendations regarding this phase to the Board within this month.

III. PLANS TO INSTITUTIONALIZE DEPARTMENTAL CHANGE

As part of institutionalizing departmental change, the Probation Department is committed to continuing its efforts to establish a Department Training Division that will provide nearly all of the operational training needed by line staff, supervisors and managers. The First Quarter Report listed the following four parts that the Probation Department planned to follow to establish a Training Division. A current status for each part is also provided.

- ***The Department is working with the Sheriff's Department for staff to assist with evaluating and redesigning Probation's training curriculum for all entry-level line staff as well as the curriculum used to train existing Probation personnel assigned to the Detention Services Bureau.***

A draft outline for a new Juvenile Corrections Officer Core course that includes evidence-based training and meets Corrections Standards Authority and Department of Justice requirements has been developed for new employees. Being better informed and well-trained will improve service delivery while enhancing employees' opportunity to successfully advance to journey-level positions.

- ***Probation and TRC are working together to develop an action plan to establish an in-house training academy.***

The Department is in the process of rebuilding its training capacity by developing a plan to create an in-house training academy. As part of this effort, the Department is seeking departmental members who are interested in becoming members of the training cadre who will be the Department's instructors and trainers in nearly all training aspects. Discussions are currently underway with the Sheriff's Department regarding use of one of their facilities for the Juvenile Corrections Officer training academy. In addition, an action plan is being developed to include training curricula for entry-level and experienced, hall, camp, and field staff. Upon completion, the plan will be submitted to the Department's executive management for consideration.

- ***Probation and TRC are working together to assess the Department's operations-related training courses as to (a) how well the curriculum aligns with evidence-based practices and principles (EBPP) and (b) what curriculum additions, changes and deletions are needed to do so.***

An assessment of the Department's operations-related training courses is underway.

- ***As part of the FY 2006-07 budget process, the Department has received Board approval for 30 additional positions to provide training and is working towards filling the positions.***

The Department anticipates filling the 30 additional positions allocated to provide training as part of rebuilding its training capacity and creating an in-house training academy.

As part of institutionalizing departmental change, in addition to its Executive Leadership Team, the Probation Department has established and implemented a governance structure comprised of Policy, Operations, and Strategic Planning Committees necessary to support and improve its operational and strategic decision-making and organizational control. The Department has also issued mandatory dress codes that are anticipated to increase professionalism and improve the Department's image and service delivery.

IV. STATUS OF SECOND QUARTER GOALS

In the First Quarter Report, the following six goals were identified for completion during the Second Quarter. The following also provides a brief description of their status:

- ***Finalize the Probation Department's proposed reorganization structure contingent on Board-approved funds.***

As indicated previously, over the past several months, the Probation Department has developed a proposed restructure, which, if fully implemented, will provide an opportunity to ensure proper management of the Department and achieve a transformation of service delivery.

- ***Complete the Probation Department's strategic plan.***

The Probation Department completed a draft strategic plan (phase one) with the assistance of a consultant. This plan will require significant revisions consistent with the Department's initiative to incorporate Evidence-Based Practices (EBP) and related plans.

- ***Retain and assemble a consultant team to assist the Probation Department with implementing those management and program audit recommendations that require subject matter expertise.***

The Department retained and is assembling a consultant team to assist with implementing those management and program audit recommendations that require subject matter expertise.

- ***Complete a comprehensive action plan to implement an EBP vision throughout the Probation Department.***

TRC is assisting the Probation Department in developing a comprehensive action plan to implement EBP in the 19 juvenile camps and 26 juvenile and adult probation field offices. On October 18, 2006, the Probation Department and TRC provided an overview of the draft EBP Comprehensive Action Plan to the Justice Deputies. This EBP Comprehensive Action Plan actually consists of six action plans and addresses 64 (67%) of the 95 audit recommendations to be implemented approximately within the next 17 months – this is contingent on available personnel resources as identified in the Department's FY 2006-07 critical unmet needs budget request.

- ***Sponsor a community corrections conference involving the Probation Department, other County departments, other local agencies, including the Los Angeles County Office of Education and the Los Angeles Unified School District, and community- and faith-based organizations.***

The Probation Department prepared significantly to sponsor the *Community Corrections Collaborative Conference* which was held on November 9, 2006. This conference was aimed at embracing community partnership and new progressive strategies supported by evidence-based practices in corrections. This endeavor involved the Probation Department, other County departments and local agencies, including the Los Angeles County Office of Education, the Los Angeles Unified School District, and community- and faith-based organizations.

- ***Implement 16 additional recommendations for a total of 33 recommendations.***

The Department was able to fully implement 10 additional recommendations versus 16 as originally anticipated. However, as reaffirmed below, the Department will continue to implement as many audit recommendations as fiscally and operationally feasible.

V. THIRD QUARTER GOALS

Over the next quarter, November 2006 through January 2007, the Department anticipates:

- Completing development and approval of the EBP Comprehensive Action Plan resulting in: 1) an EBP framework for resource allocation and future training of the Department's operations staff and 2) a continuum of supervision, treatment and other services to juvenile, emerging adult, and adult probationers.
- Offering to provide training to Superior Court judges, criminal justice system officials, and other external stakeholders of the Department in EBP principles what works and what doesn't work.
- Refining Camp Redesign and the Camp Community Transition Program (CCTP) strategies, interventions and services in accordance with EBP principles.
- Implementing the Level of Service Inventory-Revised: Screening Version (LSI-R:SV) screening tool in all adult probation field offices and pilot implementing the Levels of Service/Case Management Inventory (LS/CMI) assessment tool and case plan in the Harbor field office.
- Implementing the Saba Learning Management System within the Department's new Training & Learning Development Services Division.
- Utilizing the County-acquired Cognos "data warehousing" software as the basis for developing an executive-level Performance Measurement and Reporting System for tracking and reporting client outcomes and performance indicators (measuring progress in implementing the EBP Comprehensive Action Plan).
- Providing an update on the outcome from the November 9, 2006 *Community Corrections Collaboration Conference*, and
- Continuing to implement as many audit recommendations as fiscally and operationally feasible.

The Probation Department and TRC believe that significant progress was made over the first two quarters, and that substantial progress can be further achieved with additional resources allocated to this endeavor. The Chief Administrative Office has reviewed and concurs with this report.

Please contact us if you have any questions or if additional information is necessary, or your staff may contact David M. Davies, Chief Deputy, Probation at (562) 940-2511, or Don Chadwick, Chief, Countywide Contract Monitoring Division at (626) 293-1102.

RBT/JTM:jg

Attachments (3)

c: David E. Janssen, Chief Administrative Officer
Sachi A. Hamai, Executive Officer, Board of Supervisors
Michael J. Henry, Director of Personnel
Public Information Office
Audit Committee
Justice Deputies